



PATENT  
Attorney Docket No.: PHX-0001CIP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Michael J. LaGasse, et al. Examiner: not yet assigned  
Serial No.: 10/017,940 Group Art Unit: 2663  
Filed: December 14, 2001  
Title: APPARATUS AND METHOD FOR DEMULTIPLEXING A  
POLARIZATION-MULTIPLEXED SIGNAL

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Assistant Commissioner For Patents, Washington, DC 20231.

9/11/02

Date

Lisa Sanders

Assistant Commissioner for Patents  
Washington, DC 20231

**RECEIVED**

SEP 18 2002

Technology Center 2600

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application other than a CPA under §1.53(d); or within three months of date of entry of the national stage in international application; or before mailing date of first Office Action on the merits; or before mailing date of first Office Action after filing RCE under §1.114, whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ the \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, or other action which closes prosecution, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ the \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Applicant(s): Michael J. LaGasse, et al.  
Serial No.: 10/017,940

Statement Under 37 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Enclosed herewith is form PTO-1449:

- ☒ Copies of cited references are enclosed.
- ☐ Copies of cited references are enclosed except those entered in prior application, U.S. Serial No. \_\_\_\_\_, and references that are not required to be submitted under 37 CFR 1.98.
- ☐ The listed references were cited in a counterpart foreign application.

Concise Explanation Requirement (non-English references):

- ☐ The "concise explanation" requirement under 36 CFR 1.98(a)(3)(i) for reference XX is satisfied by:
  - ☐ the explanation provided on the attached sheet.
  - ☐ the explanation provided in the Specification.
  - ☐ abstract.

It is requested the information disclosed herein be made of record in this application.

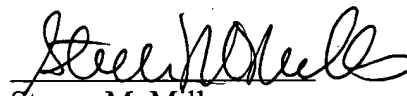
Applicant(s): Michael J. LaGasse, et al.  
Serial No.: 10/017,940

Method of payment:

- ☐ Enclosed is a check in the amount of \_\_\_\_\_.
- ☐ Please charge Deposit Account of 50-1798 in the amount of \_\_\_\_\_.
- ☐ Two duplicate copies of this Statement are enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account No. 50-1798.

Respectfully submitted,

Date: 9/11/02  
Mills & Onello, LLP  
Eleven Beacon Street, Suite 605  
Boston, Massachusetts 02108  
Telephone: (617) 994-4900  
Facsimile: (617) 742-7774

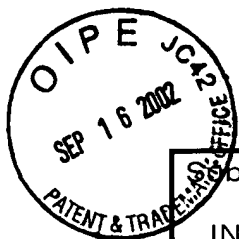
  
Steven M. Mills  
Registration Number 36,610  
Attorney for Applicants

J:\PHX\0001CIP\idsform.wpd



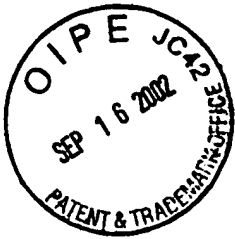
Subst. Form PTO-1449					Docket Number (Optional) <b>PHX-0001CIP</b>		Application Number <b>10/017,940</b>	
INFORMATION DISCLOSURE CITATION IN AN APPLICATION  (Use several sheets if necessary)					Applicant <b>Michael J. LaGasse, et al.</b>			
					Filing Date <b>12/14/01</b>		Group Art Unit <b>2663</b>	
U. S. Patent Documents								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	AA	5,926,297	7/20/99	Ishikawa, et al.	359	115	03/31/97	
	AB	5,909,297	6/1/99	Ishikawa, et al.	359	161	1/8/97	
	AC							
	AD							
	AE							
	AF							
	AG							
	AH							
	AI							
	AJ							
	AK							
FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation YES NO	
	AL	EP 0849906	24/06/98	Europe	H04J	14/08		
	AM							
	AN							
	AO							
	AP							
	AQ							
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AR	Ellis, A.D., et al., "Full 10* 10GBIT/S OTDM Data Generation and Demultiplexing Using Electroabsorption Modulators," Journal of Pharmaceutical Sciences, American Pharmaceutical Association, Washington, D.C., Volume 88, No. 11, pgs. 1766-1767.						
	AS	Moodie, D.G., et al., "Discrete Electroabsorption Modulators with Enhanced Modulation Depth," Journal of Lightwave Technology, IEEE, New York, U.S., Volume 14, No. 9, pgs. 2035-2043.						
	AT	Agrawal, Govind P., "Time-Division Multiplexing," from Fiber Optic Communications Systems, 2 <sup>nd</sup> Edition, Wiley (1997) pp 329-335.						
EXAMINER					DATE CONSIDERED			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy with next communication to applicant.								

RECEIVED  
SEP 18 2002  
Technology Center 2600



Sheet 2 of 2

Subst. Form PTO-1449				Docket Number (Optional) <b>PHX-0001CIP</b>		Application Number <b>10/017,940</b>		
INFORMATION DISCLOSURE CITATION IN AN APPLICATION  (Use several sheets if necessary)				Applicant <b>Michael J. LaGasse, et al.</b>				
				Filing Date <b>12/14/01</b>		Group Art Unit <b>2663</b>		
U. S. Patent Documents								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	BA							
	BB							
	BC							
	BD							
	BE							
	BF							
	BG							
	BH							
	BI							
	BJ							
	BK							
FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
	BL							
	BM							
	BN							
	BO							
	BP							
	BQ							
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
	BR	Ramaswami, Rajiv and Sivarjan, Kumar N. "Multiplexing and Demultiplexing" from Optical Networking, A Practical Perspective, Morgan Kaufman (1998) pp. 518-526.						
	BS							
	BT							
EXAMINER					DATE CONSIDERED			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy with next communication to applicant.								



4

2663  
#4  
BT  
9-20-02

PATENT  
Attorney Docket No.: PHX-0001CIP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Michael J. LaGasse, et al. Examiner: not yet assigned  
Serial No.: 10/017,940 Group Art Unit: 2663  
Filed: December 14, 2001  
Title: APPARATUS AND METHOD FOR DEMULTIPLEXING A  
POLARIZATION-MULTIPLEXED SIGNAL

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Assistant Commissioner For Patents, Washington, DC 20231.

9/11/02  
Date

Lisa Sanders  
Lisa Sanders

RECEIVED

Assistant Commissioner for Patents  
Washington, DC 20231

SEP 18 2002

Technology Center 2600

Sir: TRANSMITTAL LETTER

Enclosed herewith for filing in the above-identified patent application please find the following listed items:

1. Information Disclosure Statement;
2. Forms PTO-1449 and copies of cited references AA-AB, AL, AR-AT and BR; and
3. Return Postcard.

In connection with the foregoing matter, please charge any additional fees which may be due, or credit any overpayment, to Deposit Account Number 50-1798. A duplicate copy of this letter is provided for this purpose.

Respectfully submitted,

Date: 9/11/02  
Mills & Onello, LLP  
Eleven Beacon Street, Suite 605  
Boston, Massachusetts 02108  
Telephone: (617) 994-4900  
Facsimile: (617) 742-7774

Steven M. Mills  
Steven M. Mills  
Registration Number 36,610  
Attorney for Applicants